

ANNEX 1: TEMPLATES FOR ADMINISTRATIVE & FINANCIAL CONSIDERATIONS BY DBT

[This document shall be completed for Indian Investigator(s) by the Lead Scientific Coordinator/ India Project Lead, in consultation and & agreement with the EU Counterparts]

General Instructions:

- *All fields are mandatory*
- *Kindly also read the footnotes and furnish information/ data, accordingly.*
- *Avoid duplication of information & data in submission*
- *All the enclosures shall be searchable with bookmarks to each heading. Scanned enclosures shall not be acknowledged except for page(s) which bear signature(s) on it*
- *All sections of this proforma must be completed. If the space provided is not sufficient, attach additional supporting materials as necessary. Page numbering and headings of any supplementary material must match corresponding sections in filled-in proforma.*
- *Make sure that all investigators shall thoroughly understand the call text, requirements of participation & funding before filling this proforma*
- *Project shall not be pursued if it is incomplete or any of the requirements mentioned herein missing*
- *Project must be written in plain English*

<u>SR. NO.</u>	<u>PARTICULARS</u>
1.0	GENERAL INFORMATION
1.1	Duration of the Project <i>(in months)</i>
1.2	Proposed cost of the project <i>[Cumulative (non-recurring & recurring), as well as segregated project cost proposed for Indian and EU participants In INR]</i>
1.3	Objectives of the proposal <i>(only one liner, must be interdependent, and to be submitted as bullet points NMT 100 words)</i>
1.4	Has this proposal (or a very similar one) been considered/funded in the past 2 years? [--YES/NO--] If Yes , how the present proposal is different from the already considered/funded earlier proposal?
2.0	PARTICIPATING INVESTIGATORS
2.1	Name & designation of Lead Scientific Coordinator/ India Project Lead, Date of Birth, Date of Superannuation & Complete Contact Information <i>(including institutional affiliations, e-mail & cell number)</i>
2.2	Name & designation of Principal Investigator(s) & Co-Principal Investigator(s), Date of Birth, Date of Superannuation & Complete Contact Information <i>(including institutional affiliations, e-mail & cell number)</i>
2.3	Name & designation of Co-Investigator(s), Date of Birth, Date of Superannuation & Complete Contact Information <i>(including institutional affiliations, e-mail & cell number)</i>
2.4	Name & designation of Project Coordinator from EU & Complete Contact Information <i>(including institutional affiliations & e-mail)</i>

	2.5	Name & designation of Principal Investigator(s) and Co-Principal Investigator(s) from EU & Complete Contact Information <i>(including institutional affiliations & e-mail)</i>
	2.6	Name & designation of Co-Investigator(s) from EU & Complete Contact Information <i>(including institutional affiliations & e-mail)</i>
	3	Explicit interdependent OBJECTIVES of <u>each participating organization</u> <i>(NMT 300 words // allocated to Indian and EU counterparts; to be presented as bullet points)</i>
	4	WORK DIVISION <i>[NMT 500 words // provide explicit roles, responsibilities & contributions of each investigator (Indian and counterparts from EU) to be involved in this project // Complementarities of participants and extent to which the consortium as a whole brings together the necessary expertise and appropriateness of the allocation of tasks]</i>
	5	IMPORTANCE & EXPECTATION <i>(NMT 400 words // Describe briefly the importance of your research for the scientific community, society & the environment, and the impact you expect from the project on research, training and teaching in your field/discipline in short and/or long term // How the project relates to India specific and global aspiration?)</i>
	6	CAPACITY BUILDING <i>(NMT 110 words // Provide explicitly projected provisions for capacity building (such as orientation, conceptualization, hands-on training, etc.) for young human resource to be engaged in the project in partnering labs from abroad and vice versa?)</i>
	7.0	ETHICAL, SAFETY & STATUTORY REQUIREMENTS
	7.1	Is there any possibility of use of information (in any form) resulting from the proposed work, which may impinge on India's national prestige and/ or security? If yes, the nature of such a use should be indicated. <i>[NMT 50 words]</i>
	7.2	Will any sensitive source material be referred to during the course of the research? [- YES/NO --] <i>If yes, provide explicit details of the same. [NMT 70 words]</i>
	7.3	Does this collaboration involve <i>(Explicitly highlight the same)</i> a) Use of endangered fauna and/or flora and/or protected areas? [- YES/NO --] b) Transnational exchange of biological resource(s) and/or material(s)? [- YES/NO --] c) Use of radioactive materials? [- YES/NO --] d) Use of elements that may cause harm to the environment, to humans (including research staff), to animals or plants? [- YES/NO --] e) Use of Genetically Engineered Organisms? [- YES/NO --] f) Field trials or testing? [- YES/NO --] g) Pre-clinical and/ or Clinical trials or testing? [- YES/NO --] h) Ethical considerations? [- YES/NO --] i) Considerations related to Intellectual Property Rights (IPR)? [- YES/NO --] j) Collection and/or processing of new and/or previously collected personal data? [- YES/NO --]
	7.3a	If answer to the one or more of the above questions is YES ;

	<p>Are the investigator(s) aware of the relevant regulations (<i>such as CPCB/IBSC/ IASC/ IAEC/ IEC/ NBA/ IC-SCR/ CTRI etc.</i>) and have they agreed to abide by them? [-- YES/NO --]</p> <p><i>If YES, provide explicit details of it [NMT 150 words]</i> <i>If NO, provide valid reason(s) to it [NMT 150 words]</i></p>
7.4	<p>Describe the following <i>[NMT 500 words // Kindly note that the IPR issues for each proposal need to be in compliance with the S&T agreement between EU and India]</i></p> <p>a) If-&-how the project results should be protected b) Details of knowhow 'within the consortium' already generated so far c) IPR barriers or relations to others' intellectual properties d) Brief summary of your freedom to operate these IPs during the tenure and beyond the tenure of the project e) Whether methods/interventions chosen give rise to intellectual property disputes or opportunities? If yes, clarify the same explicitly. f) How & what level of "freedom to operate" will be made available for the knowhow and IPs already generated/ existing and to be generated through this grant, to the scientific fraternity in India & world over?</p>
7.5	<p>Are there any other ethics issues that should be taken into consideration? [-- YES/NO --]</p> <p><i>If YES, Please specify [NMT 150 words]</i></p>
7.6	<p>While submitting this grant proposal, you are requested to note the following and upload/ enclose relevant information</p> <p><i>a) In case of Academia (Public and/or private universities and research organisations) submission of proof of establishment under Indian statue; recognition documents and registration at Government of India's Public Finance Management System (PFMS) - https://pfms.nic.in shall be obligatory. (Kindly enclose relevant documents)</i></p> <p><i>b) In case of Indian private R&D performing institutions and Not-for-profit, NGO(s)/ VO(s)/ Trust(s)/ Research foundations;</i></p> <ul style="list-style-type: none"> <i>o should have experience of at least 3 years in scientific research, teaching, training and extension activities; and must follow research as one of the mandates.</i> <i>o Submission of proof of registration at 'NGO DARPAN' of NITI Aayog (http://ngodarpan.gov.in/), Certificate of registration under Society Registration Act, Firm's Memorandum of Association, Registration at Government of India's Public Finance Management System (PFMS) (https://pfms.nic.in), Valid SIRO certificate for firm's in-house R&D recognition and audited account statements for the past three years shall be obligatory; (Kindly enclose relevant documents)</i> <p><i>c) In case of Public or Private Industry;</i></p> <ul style="list-style-type: none"> <i>o The firm should be an Indian Company registered under the Companies Act, wherein 51% (or more) of the ownership/shareholding/partnerships shall be held by resident Indian citizen(s); should be complying with General Financial Rules (GFR), 2017; and</i>

- o *Submission of Certificate of Incorporation issued under Companies Act, Valid SIRO certificate for firm's in-house R&D recognition, Exemption Certificate (as applicable), Firm's Memorandum of Association, registration at Government of India's Public Finance Management System (PFMS) (<https://pfms.nic.in>) and Audited Account Statements for the past three years shall be obligatory. (Kindly enclose relevant documents)*

8.0 BUDGETARY REQUIREMENTS

8.1 Details of Consolidated budget proposed

(Rs. In lakhs)

Heads	Year I	Year II	Year III...	Total
Equipment(s)				
Manpower				
Consumables				
Travel				
a. Domestic				
b. International				
i. Expenditure for travel of investigator(s) to EU				
ii. Expenditure for travel of project staff(s) (preferably registered PhDs and/or Postdocs) to EU				
iii. Expenditure for stay of investigator(s) in EU				
iv. Expenditure for stay of project staff(s) (preferably registered PhDs and/or Postdocs) in EU				
c. Subsistence cost for visiting Indian counterpart investigator(s) and/or project staff(s) within India				
Contingency				
Overheads				
Outsourcing				
Other (Provide details).....				
Total				

(N.B: Academia can factor in additional sub heads (in other category) such as training & awareness, review meeting, consultancy charges, field & farm expenses, etc. based on the requirement of the project.)

8.2 Details of Investigator-wise and/or Institute wise & year wise final budget proposed: [*Critically review the budget requirements, ensuring every possibility of using existing resources & communication technologies or possibly sharing the same from alternative sources (outsourced) without impacting time and efforts to achieve the goal*]

(Rs. In lakhs)

Heads	Year I	Year II	Year III...	Total
Equipment(s)				
Manpower				
Consumables				
Travel				
a. Domestic				
b. International				
i. Expenditure for travel of investigator(s) to EU				

Total									
-------	--	--	--	--	--	--	--	--	--

8.4 Provide Investigator wise realistic justification for the following:

a) Details of Investigator wise equipment proposed (Rs. In lakhs)

Sr. No.	Name of the Proposed Equipment	Explicit Justification of the Proposed Equipment	Proposed Cost
1			
2			
3...			

I. Enclose a certificate duly forwarded by your Head of Organization stating that proposed equipment(s) are not available in the organization, and not easily accessible to you, for accomplishing proposed research goals. *If required equipment(s) are already available in the institute then explicit justification is to be submitted for requesting another set of the equipment(s).*

II. Provide a list and number of major & minor equipment(s) available in your laboratory, or easily accessible to you, for accomplishing proposed research goals of the project (*To be submitted for each participant investigator*)

b) Manpower details: *[NMT 180 words]*

I. Provide the desired qualification, experience and emoluments of the manpower proposed in the project. *(Justification for the need of each proposed project position must also be given)*

II. In case of desired qualification, experience and emoluments of the manpower proposed in the project is not as per **DST guidelines**, then provide details of the same and compulsorily enclosed the copies of relevant approved guidelines. *(E.g. ICAR/ CSIR/ ICMR/ Institutional guidelines/ Wage norms of State Govt. Labour Department etc).*

c) Consumables budget proposed: *[NMT 200 words]*

d) Contingency budget proposed: *[NMT 150 words]*

e) Travel budget proposed: *(Domestic and international travel should be limited for project purposes only. In case of field visit etc., which are required for collection of samples and/or visit of patients etc., it should be separately mentioned and justified.*

Explicitly clarify the frequency, number and duration of stay for each planned visits to be made by investigator(s) and/or project staff(s) (preferably registered PhDs and/or Postdocs) to European project partners (and vice versa) each year along with the basis for the proposed cost). [NMT 210 words]

f) Whether any outsourcing work (like genome sequencing, bioinformatics analysis, fabrication, construction, sample analysis, etc.) is involved in the project? [--YES/NO--]

If yes, please provide the details of the same [NMT 210 words]

g) Budget proposed under 'Other' category: *[NMT 200 words]*

9.0	INVESTIGATORS CREDENTIALS
9.1	<p>Details of ongoing projects with Project Lead; Principal Investigators (PIs & Co-PIs); Co-Investigators (Co-Is) as per the following format (<i>Funded by any funding agency</i>):</p> <p><i>a)</i> Title of the project: <i>b)</i> Project Keywords: <i>c)</i> Approved Objectives: <i>d)</i> Funding agency: <i>e)</i> Project duration (from-to): <i>f)</i> As (PI/Co-PI/Co-I): <i>g)</i> % of time devoted to each project:</p>
9.1a	<p>In case of having <u>more than three</u>, ongoing projects in hand (as Project Lead/PI/Co-PI/Co-I), kindly provide explicit justification on how adequate, efficient and effective progress and implementation of project will be ensured?</p>
9.2	<p>Information for completed projects (<i>funded by any agency in last three years</i>) of Project Lead; Principal Investigators (PIs & Co-PIs); Co-Investigators (Co-Is) as per the following format:</p> <p><i>a)</i> Title of the project: <i>b)</i> Approved Objectives: <i>c)</i> Funding agency: <i>d)</i> Project duration (from-to): <i>e)</i> As (PI/Co-PI/Co-I): <i>f)</i> Date of Actual Completion</p>
9.3	<p>Provide in <u>strictly one page</u>, CVs of Indian investigators, having listed (only) the five most important publications & patents of the participating investigators, which have a bearing on the project (<i>Considering the overall page limitations provide the most relevant information only</i>)</p>
10.0	UNDERTAKING & ENDORSEMENTS
10.1	<p><i>a)</i> The research work proposed in the scheme/project entitled "....." does not in any way duplicate the work already done or being carried out elsewhere on the subject.</p> <p><i>b)</i> Certified that above information is true to the best of our knowledge</p> <p>[Name, Signature and Stamp of Project Lead/ Principal Investigator (On behalf of all participating investigators)]</p> <p><i>Forwarded by</i> [Name, Signature & Stamp of Executive Head of Institution/ Organization/ University]</p>
10.2	<p>Enclose a letter of collaboration and submission of joint proposal (<i>with the project title</i>) from <u>Project Coordinator</u></p>
10.3	<p>Endorsement by the Head of the Organization: (<i>to be submitted on letter head in support of individual participating investigator of the concerned organization as per the proforma placed below</i>)</p>

Endorsement by the Head of the Organization

To be submitted on letter head in support of individual participating investigator

Project Title:

I. Certified that the institution welcomes participation of Dr. _____ as the Principal Investigator and Dr. _____ as the Principal Co-Investigator or Co-Investigator for the project and that in the unforeseen event of discontinuance by the Principal Investigator, the Principal Co-Investigator will assume the responsibility of the fruitful completion of the project [with due information to the Department of Biotechnology (DBT)].

II. Certified that all resources (infrastructure, techno-scientific, administrative, etc.) as per the terms and conditions of the grant, will be extended to investigator(s) throughout the duration of the project.

III. Institute assumes to undertake the financial and other management responsibilities of the project.

IV. Certified that comprehensive appraisal pertaining to administrative, financial, ethical, regulatory & statutory requirements has been made towards participation of this organization through this project, beforehand.

V. We thoroughly understood the modalities of participation & funding, and shall abide to it.

VI. We hereby commit to obtain all applicable (central & state) environmental, regulatory & statutory as well as local governmental authorizations, prior to the commencement of site development activities.

VII. We agree to accept the terms and conditions of Department of Biotechnology, Govt. Of India.

VII. The details & information given in the project proposal are true & factual.

Date:

Name & Signature with stamp
of Head of the Organization

Place: